



Scaling Up with Development Assistance

What have we learned so far?

“Scale Up Workshop”
USDA/NIFA/CRS, Washington, DC
Johannes F. Linn
Emerging Markets Forum and Brookings
jlinn@brookings.edu

Preamble:

What's in a word...?

Two meanings of “scaling up”:

1. “increasing the amount of money/aid”
2. “taking successful programs to scale”

Today we're concerned with 2.

What's the problem?

Ambitious global development goals (MDGs, 1m rural poor, global food security, etc.), but...

- 🌐 Fragmentation of aid architecture (actors, projects)
- 🌐 High/rising costs of aid administration (esp. among recipients)
- 🌐 Increasing difficulties of coordination
- 🌐 Failure to “connect the dots”, i.e., to reap the benefits of scale through learning, replication and partnership

→ need to scale up successful interventions

State of the scaling-up debate

- 🌐 History of the issue – goes back at least to McNamara's days at the World Bank
- 🌐 More recently, quite a large, but disjointed literature on approaches and lessons in specific sectors/areas
- 🌐 Few cross-cutting reviews, no analysis of agencies
- 🌐 No systematic focus on scaling up in Paris Declaration/Accra Agenda for Action
- 🌐 Research/advisory agenda initiated at Brookings in 2005 – after initial stocktaking, we now work with AusAID, IFAD, UNDP, KOICA, JICA, GTZ/GIZ, WB

Outline of a progress report

- 🌐 A look at the framework we've developed and use
- 🌐 A summary of a review of institutional practices in selected donor agencies
- 🌐 A summary of an institutional scaling up review of IFAD
- 🌐 Some overall conclusions
- 🌐 Other completed or ongoing work: Phase 2 review of IFAD; country program review of UNDP; scaling up in fragile states with AusAID; proposal for including the scaling up agenda in HLF4 (Busan)

Scaling up: Our general approach

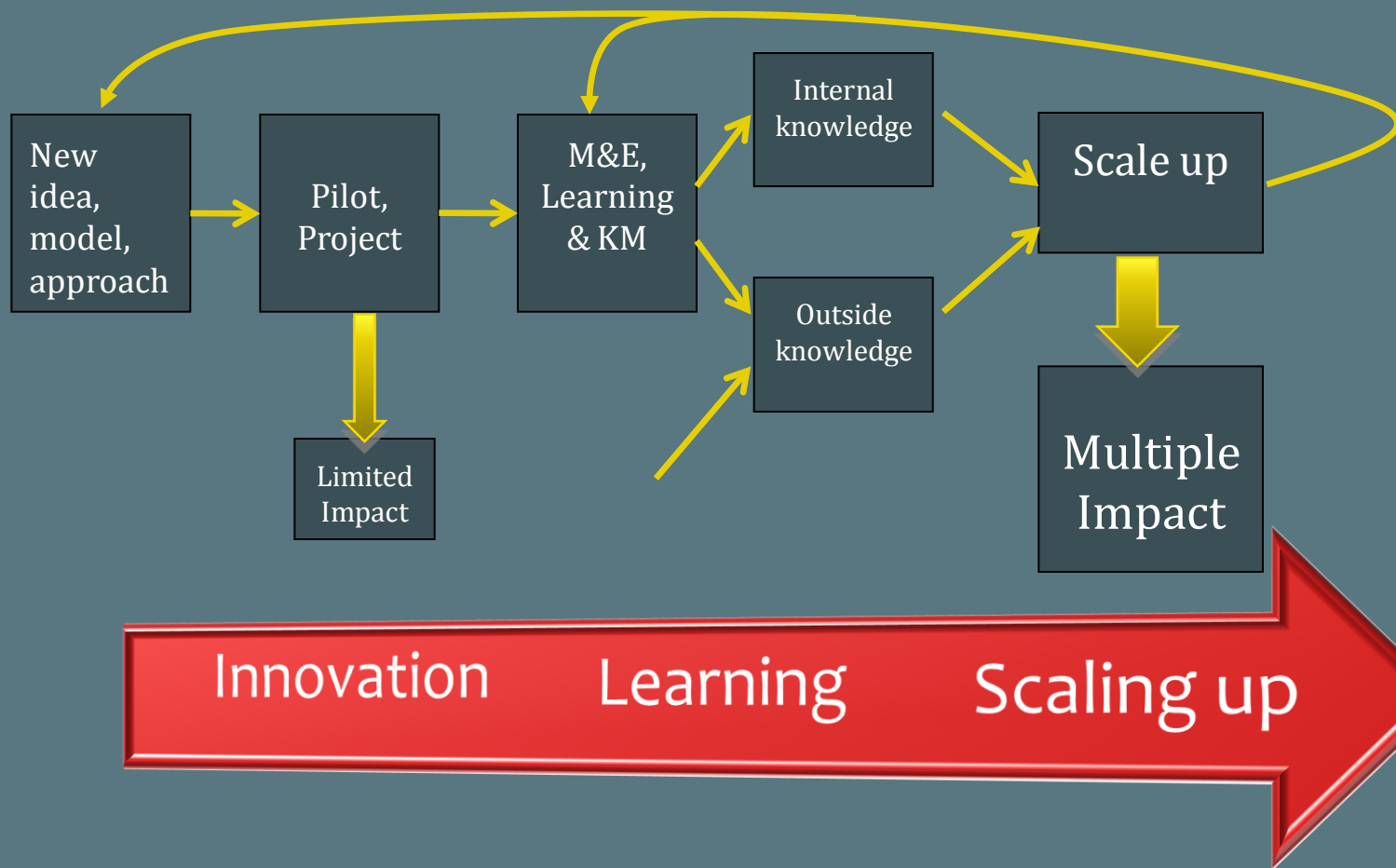
- 🌐 Define scaling up:

- 🌐 *“Scaling up means expanding, replicating, adapting and sustaining successful policies, programs or projects in different places and over time to reach a greater number of people.” (Hartmann and Linn, 2008)*

- 🌐 The key question: If some aid supported intervention works as a pilot, how do we take it to scale?

- 🌐 Or: How do we develop pathways from innovation to learning and scaling up beyond individual project?

The pathway from innovation to learning and scaling up



The cycle of innovation, learning and scaling up

- 🌐 Innovation, learning and scaling up are separate, albeit linked processes.
- 🌐 They are generally complementary, but compete for resources.
- 🌐 Not every innovation can or should be scaled up.
- 🌐 Not every scaling up needs to involve an innovation.
- 🌐 The innovation-learning-scaling up cycle has no blueprint, is not linear or fixed –
 - 🌐 but context-specific, iterative and flexible







How to define pathways for scaling up

Need to go beyond individual projects and develop scaling up pathways over time:









1. Select the dimensions (in-fill, horizontal, vertical, functional)
2. Define the desired scale and time horizon
3. Define the intermediate steps and results
4. Focus on “drivers” and “spaces” for scaling up (next slide)
5. Select the operational instruments/approaches
 - With own resources
 - With partners (co-financing, hand-off, etc.)
 - Other donors, government, non-governmental partners
6. Monitor and evaluate

“Drivers” and “spaces” define the pathways for scaling up

Drivers

-  Innovative ideas
-  Vision of scale
-  Leadership/champions
-  Country ownership
-  External catalysts
-  Incentives and accountability

Spaces (Constraints)

-  Fiscal and financial resources
-  Organizational (institutional and human) resources
-  Natural resources
-  Policy
-  Political
-  Cultural
-  Partnerships
-  Learning (incl. M&E)

Risks of inadequate consideration of key scaling up factors

- Opportunities for scaling up may be missed (“Type 1 error”) or scaling up may be done badly (“Type 2 error”).
- Failure to identify financial/policy/capacity/political constraints may limit the potential for scaling up later.
 - Not paying attention to costs may create “boutique” approaches that only work on a small scale.
 - Setting up special purpose entities (e.g., PIUs), rather than working through ministries, may limit institutional options later.
- Failure to work with partners early may limit their buy-in later
- Lack of effective, timely M&E may lead to poor decisions in scaling up.

How to move towards a scaling up agenda in aid agencies?

- 🌐 It's commonsense, but:
 - 🌐 operational strategies, policies, processes, resource allocation, incentives, evaluation practices and individual motivations are generally skewed towards innovation (new ideas, pilots, more and smaller projects) and against scaling up
- 🌐 So: there's a need to consider scaling up explicitly and systematically throughout the operational cycle
- 🌐 Important to keep it simple: e.g., consider a few standard questions about the scaling up pathway at each stage of the operational process (IFAD)

Lessons from an institutional review

- 🌐 A meta-evaluation based mostly on publicly available evaluations of agency performance
- 🌐 Evaluations generally not focused on scaling up specifically
- 🌐 Agencies covered:

IFAD*

UNDP

Millennium Villages*

World Bank

AsDB

IADB

Global Fund*

GAVI*

GAFSP

AusAID

* = comprehensive evaluation; otherwise partial

Key findings of the review

- 🌐 Most donors agencies do not have systematic approach to scaling up – this leads to Type 1 and Type 2 errors.
- 🌐 But since evaluation practice does not systematically evaluate track record on scaling up, we generally don't really know.
- 🌐 The global (health) funds systematically scale up, but mostly horizontally and with narrow focus. This has led to Type 2 errors.
- 🌐 Good national-level sector strategies are critical if individual donors are to scale up effectively.

Key findings, ctd.

- 🌐 Steady, long-term funding is critical.
- 🌐 Need to manage the tension between quantitative scaling up and quality objectives.
- 🌐 M&E are critical elements of an effective scaling up approach.
- 🌐 Scaling up also relevant and possible in fragile states and (post-)conflict settings, but more difficult.

Institutional scaling up review of IFAD

- 2 country case studies (Peru, Moldova), 3 Country Program Evaluations (India, Nigeria, Sudan), 2 thematic reviews (ENRM, value chains), Innovation Evaluation
- Review of operational strategies, policies, processes, evaluation practices, budget and human resource management
- Key conclusions:
 - IFAD has good examples of scaling up (e.g., Peru)
 - They provide useful lessons
 - But scaling up is not yet the prevailing focus in IFAD's programs or of its internal policies, processes, etc.
 - IFAD's clients would benefit from systematic approach to scaling up

An example: Highland area development in Peru (IFAD)

- 8 IFAD loans since 1980 for rural poverty reduction through successive area-based projects
 - >150,000 rural households, 30% of highland communities
- Multi-dimensional scaling up
 - Geographic, functional, beneficiaries, institutional
- Drivers
 - Crisis, community demand, expert network, IFAD staff
- Spaces
 - Political, policy, institutional, fiscal, cultural, learning
- IFAD's role
 - Flexible, innovative, stick-with-it, building on experience
 - Long-term project manager close to the action and committed to scaling up

Key dimensions of a scaling up approach for IFAD




- Move from a project to a country programmatic (scaling-up) approach.
- Develop potential pathways early on and take proactive steps to plan and prepare for scaling up (go beyond “exit strategies”).
- Explore especially the institutional, organizational, policy and partnership spaces that allow scaling up.
- The role of partners is critical, including private sector (value chains).
- There’s no blue-print for scaling up pathways – they will differ by country and type of intervention, in terms of drivers and spaces, by instrument and partner, etc.

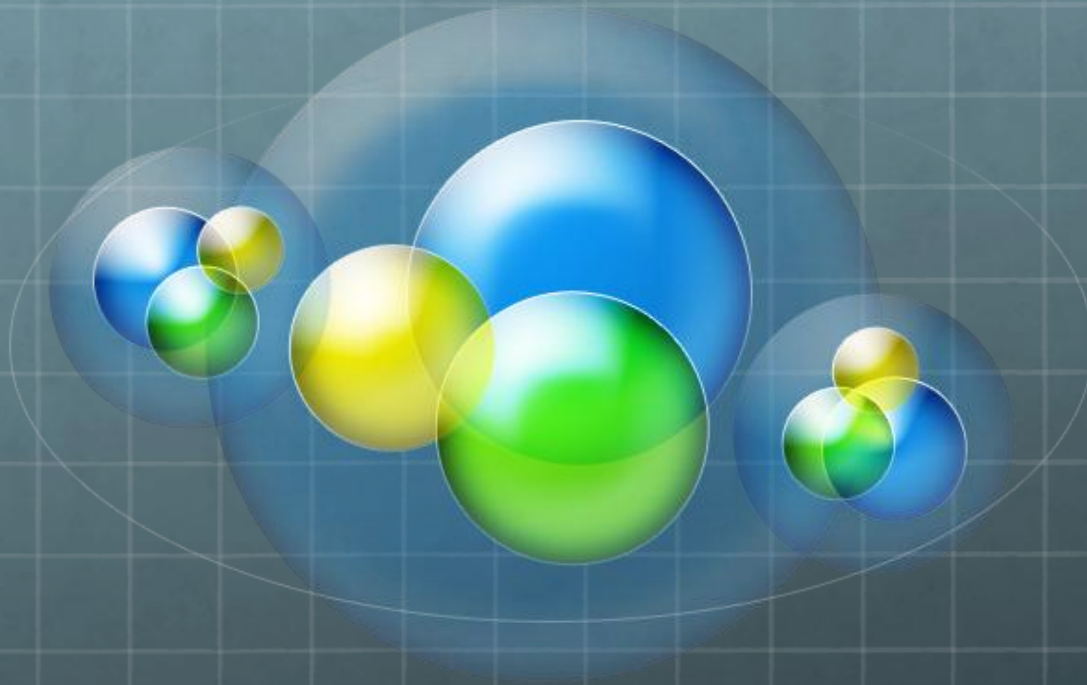
Overall conclusion:

4 gaps and 4 recommendations

1. ***Institutional information gap***: Aid agencies should review and develop their institutional approaches to scaling up;
2. ***Evaluation gap***: evaluations of donor projects should include an assessment of the scaling up practices of donors;
3. ***Incentives gap***: donors need to provide incentives to their recipient partners and their own managers/staff to pursue scaling up; and
4. ***Partnership gap***: donors should expand the use of programmatic approaches and instruments with joint funding of programs designed to bring donors together so they can scale up successful interventions

Some references

-  A. Hartmann and J. Linn. 2008. “Scaling Up: A Framework and Lessons for Development Effectiveness from Literature and Practice.” *Wolfensohn Center Working Paper No. 5*. Brookings.
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-  J. Linn, A. Hartmann, H. Kharas, R. Kohl, and B. Massler. 2010. “Scaling Up the Fight Against Rural Poverty: An Institutional Review of IFAD’s Approach”, Global Working Paper No. 39 , Brookings.



Thank you!